



**Office of School Improvement
Field Services Unit**

**District Guidelines for
SES Implementation**

1. Contracting with Approved Providers

Providers are responsible for contracting with each district selected in the application that is required to provide supplemental educational services (SES). Districts should be able to begin contracting with every SES provider identified on their district list immediately after the provider receives state approval.

2. Parent Notification

The **Local Education Agency** (LEA) should notify parents of the **opportunity for SES** and the option of school choice multiple times, using multiple methods, in the languages represented in the LEA. **LEA is defined as local boards of education, including districts and public school academies, intermediate school districts, and regional educational service agencies.**

If an LEA is not utilizing the full Title I 20% set-aside to provide services to students, it will be the responsibility of the LEA to demonstrate that the notifications meet the SEA's expectations. The notification must meet all requirements of the law. Sample parent notification letters for SES and Choice can be found at www.michigan.gov/mde-ses. One component of this requirement is that the LEA must provide "...a brief description of the services, qualifications and demonstrated effectiveness of each such provider." A "Profile" for each approved provider that includes these components can be found at www.michigan.gov/mde-ses.

The LEA should consider not printing the hourly rate for providers and, instead, provide parents with the estimated hours of service they can expect from each provider. This can be determined by using the LEA's per student allocation (**Total Title I, Part A Grant Allocation divided by the Census Poverty Data for the number of children aged 5 through 17**).

The LEA should consider the student population being served, and the community, in order to ascertain additional methods of parent notification. These methods might include: radio announcements, public access television, posters within the buildings, provider fairs, parent-teacher conferences, parent meetings, referrals through the Child Study Team, including the information in enrollment packets, etc.

Parents should have a minimum of thirty days to return enrollment materials related to choice or supplemental educational services or the ongoing opportunity to enroll students in SES.

3. Parent Selection of Providers

Promotion of Providers - The LEA is responsible for ensuring that the SES selection process is parent-driven and does not utilize bias or coercion in order to promote specific providers. Teachers and administrators may provide information to parents, but the information should be inclusive of all providers. A teacher can not exclusively recommend or promote a single provider – especially one for which they

are employed. Teachers, who are dually employed by an LEA and a provider and receive questions from a parent or student, must direct parent questions to the SES building coordinator, another teacher or an administrator in order to avoid the perception of a conflict of interest.

Completion of Applications - **Strong consideration should be given to the practice of pre-populating SES applications, at the district level, with specific student demographic and contact information prior to distribution. This procedure may place an undue burden on parents to obtain the correct application.**

Building representatives should not complete any portion of a parent application for SES, especially the provider selection component. Incomplete applications should be forwarded to the LEA SES coordinator who is responsible for contacting individual parents to ensure the selection process is parent-driven.

Provider Fairs – A provider fair is one method that may be utilized for parental notification and selection of SES. If the LEA conducts a provider fair, the LEA must ensure that:

- All providers are given equitable opportunity to attend the fair; and
- The fair is in a location and time that is convenient for parents.

In addition, it is the LEA's responsibility to regulate fairs so that parents have time to gather information about all Providers. LEAs should restrict behaviors that are unethical or inappropriate such as:

- Distribution of "sign-on incentives" to parents and/or students;
- **Advertisement of incentives by word-of-mouth or in written materials; and**
- Providers who greet parents at the door and obtain a selection before a parent has had time to view and understand all of the available options.

Parent Questionnaire - An LEA may also want to provide parents with a list of questions to ask Providers (Appendix B).

Selection Options - An LEA should include space on the SES application for parents to select at least a first, second and third choice of providers. If the parent is only allowed to select one provider, and that provider's minimum is not met or they default on their contract, contacting parents for an alternative choice can greatly stall the selection process.

4. Community Partnerships

The **State Education Agency** (SEA) recommends that each LEA develop community partnerships that will support outreach efforts for SES. Faith-based organizations, community organizations, businesses and assistance centers can distribute SES information to eligible students. **In addition, an SEA may elect to**

hold a provider fair or disseminate information related to SES enrollment at a local organization such as YMCA or local shopping center.

5. Selecting Providers to Serve in a School Building

LEAs should encourage providers to serve students within the school buildings required to provide SES. Selection of the providers who will serve in a school building should occur prior to parent enrollment. Selection of providers must be without bias and may not give preference to certain providers including an LEA's own program or a provider that has maintained a long-standing relationship with the LEA. (See number six for information related to building use fees.)

One method for determining a provider who will serve in the building is a random selection drawing. **The random selection drawing process should ensure equitable access to all providers who are interesting in serving in school buildings.**

6. Building Use Fees

Building use fees may be imposed on providers who have access to buildings to provide SES. These fees should be similar to those imposed on other for-profit **or non-profit** agencies that are allowed access to LEA facilities. The LEA should have a building use policy citing charges and apply it consistently to SES providers and other entities.

The LEA may impose building use fees that cover costs generated by an SES program, but may not impose costs that produce significant financial gain to the LEA.

In addition, it is not appropriate for a LEA to supplant costs originally incurred by the LEA to providers. For example, if a building is already utilizing security for other evening programs, it would not be appropriate to attribute the entire cost to an SES provider. It may be appropriate, however, to attribute a fraction of the cost to a provider.

7. Dual Employment of Instructional Staff

Non-regulatory federal guidance (section C-15) clearly states that "... individual or groups of teachers who work in a school or an LEA...may be hired by any State-approved provider to serve as a tutor in its program." An LEA should impose a conflict of interest clause that prevents a teacher from acting as a building level coordinator for a provider, or any other role for a provider other than as a tutor.

Teachers who are paid by the LEA for a role other than classroom instruction, such as a building level coordinator, school board member, etc. should not be dually employed by a provider to avoid a conflict of interest.

In addition, the LEA is responsible for ensuring that the SES selection process is parent-driven and does not utilize bias or coercion in order to

promote specific providers. Teachers and administrators may provide information to parents, but the information should be inclusive of all providers. A teacher must not exclusively recommend or promote a single provider – especially one for which they are employed. Teachers, who are dually employed by an LEA and a provider and receive questions from a parent or student, should direct parent questions to the SES building coordinator, another teacher or an administrator in order to avoid the perception of a conflict of interest.

8. Student Attendance Sheet Verification

LEAs may require that a parent sign attendance sheets in order to verify student attendance. LEAs should consider, however, allowing students to sign attendance sheets, on-site monitoring or another attendance verification method in order to prevent undue burden to a Provider.

LEAs may require attendance sheets that are submitted without parent signatures to include additional assurances such as notarization, identification of multiple methods used in an attempt to obtain the signatures, signed affidavit of authenticity, etc. A LEA should also consider spot-checking attendance sheets with parents or, if possible, school building representatives for authenticity.

9. Gender Specific Tutoring Programs

LEAs who choose to enter into an agreement with a Provider offering a gender specific program incur all responsibilities required by a Federally funded gender specific program. Before entering into such an agreement, the SEA strongly recommends the LEA carefully consider the guidance contained in The Federal Register (*34 CFR Part 106: Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance; Final Rule*) which can be found at <http://www.ed.gov/policy/rights/reg/ocr/edlite-34cfr106.html>.

10. Definition of Eligible Students

Eligible students are identified by two criteria: (1) students must be attending a school that is in its third year (Phase 2) of improvement or greater and (2) students must be eligible for free or reduced lunch. LEAs should carefully consider the methods they use to determine which students are eligible in order that the numbers reported to the LEA are as accurate as possible.

If there are more applicants than can be served with the 20% set-aside, the district needs to prioritize by greatest academic need. Students who demonstrate the greatest academic need must be provided services first.

11. Ethics and Assurances

Beginning with academic year 2007-08, all approved SES providers in the state of Michigan were required to sign a Code of Ethics (Appendix D) and a set of Assurances (Appendix E). These materials are intended to serve in the best interest of students and relieve some of the administrative burden of SES for LEAs.

It is essential that LEAs read and understand both documents. Providers who are found through the formal complaint process, monitoring or evaluation process to be in violation of the ethics or assurances may incur consequences up to and including removal from the approved list.

12. Contract Disputes Between Providers and LEAs

The SEA maintains the responsibility for ensuring that the LEA does not include onerous clauses in contracts with Providers. If the SEA reviews a contract and determines that it is legitimate and appropriate, and a Provider refuses to sign the contract or does not follow the requirements of the contract, the LEA can decide to not allow that provider to service the LEA that academic year. If the Provider has already signed a contract and is not following it, the LEA can request that the Provider is suspended from providing services within the LEA for one (1) academic year.

When the LEA enters into a contract dispute with a Provider, and would like to exercise the option to not allow a Provider to service the LEA or suspend a Provider, the LEA must:

- Provide the SEA written notification of the intent to not allow a Provider to service an LEA or suspend a Provider;
- Afford the SEA the opportunity to review the contract;
- Identify, for the SEA, the specific contract violation and all attempts made to rectify the situation.

The SEA will then review the contract to ensure that the contract under consideration is reasonable and issue a determination to the LEA. The SEAs decisions are final.

13. Complaint Resolution

Complaints received by the LEA should first be handled at the LEA level. The LEA should have a process for investigating and tracking complaints related to SES. Complaints received by the SEA that involve LEA employees may be referred to the LEA for preliminary investigation.

If a parent or provider files a formal complaint with the SEA alleging a violation of LEA guidelines, non-regulatory guidance or federal legislation by an LEA employee or provider, and it has not been investigated at the LEA level, the SEA will forward a request for inquiry to the LEA.

The request for inquiry will include a copy of the formal complaint as submitted to the SEA, a request for the LEA to investigate the allegations, and submit a status update to MDE within thirty calendar days.

An LEA may also file a complaint against an approved provider. The LEA should include all pertinent information in the written complaint, including

a summary of any investigative or reconciliatory actions up to the date of the complaint.

14. SES Tutor Qualifications

Currently, the SEA has determined that SES tutors must have earned a minimum of a high school diploma. Providers are responsible for providing exemplary supervision and professional development to all tutors. The LEA may not require providers to hire instructors that are “highly qualified” using the NCLB definition.

15. Preschool

Title I, Part A funding is intended to serve students in grades K-12. Since SES and choice funds are set-aside from Title I, Part A, preschool students are not eligible for SES.

16. Site Visits/Observations

Ideally, an LEA would conduct **at least one formal site visit annually** for each provider with which they have an executed contract. While on-site, the LEA should monitor the following program components:

- Adherence to the SES contract: student/teacher ratio, instructional materials, staff qualifications, etc.
- Student attendance
- Adherence to individual student goals
- Environmental safety

The SEA should be immediately notified if a site visit produces evidence of a violation of the contract or applicable Federal, State and local health, safety, and civil rights laws. **Copies of any information related to each formal or informal site visits should be provided to the SEA.**

A sample site visit form can be found in Appendix F.

17. Specific Achievement Goals

The **LEA** is required “...to develop, in consultation with parents (and the provider chosen by the parents), a statement of specific achievement goals for the student, how the student’s progress will be measured, and a timetable for improving achievement...” LEA representatives should use student assessment data to provide a selection of individualized student learning goals for parents and providers. The parent, LEA and provider then should select a specific number of learning goals for each student, which can be **reasonably accomplished in the projected amount of** service hours.

While a Provider is responsible for collaborating with the district and parents, the Provider is not singularly responsible for developing specific achievement goals. The LEA should not require the provider to meet with parents or students prior to entering into an executed contract **(see number 18)**.

Specific Achievement Goals for students who have special needs should consider the content of each student's IEP. If there is not an approved provider who can meet a specific student's learning needs as identified in the IEP, a district representative may be able to provide services.

18. Student Assessment

The LEA should not require the provider to assess students prior to entering into an executed contract. The LEA should expect each provider to, at a minimum, pre and post test students in order to demonstrate academic growth on the specific individual learning goals. All student assessments may be billed at the hourly rate per student agreed upon in the contract. The LEA is responsible for ensuring that each provider places emphasis on instructional time, rather than an inordinate number of assessment hours.

19. 20% Set-Aside

The LEA is expected to use the full 20% set-aside for choice/transportation and SES. In order to reallocate this set-aside, the LEA must be able to demonstrate that parent notification was provided to parents multiple times, using multiple methods and in the languages represented by the parent population. The expectation is that the notifications will occur over a number of months with rolling enrollment, if necessary.

An LEA may request a reallocation of the 20% set-aside in writing to the Office of School Improvement. The request should include the following information:

- Documentation and evidence of the multiple attempts, methods and languages used to notify parents of their options.
- Evidence of community partnerships that assisted with the notification process.
- The total amount of the allocation that has been/will be spent for choice/transfer.
- The total amount of the allocation that has been/will be spent for SES.
- The total amount of the allocation that will be reallocated.
- The total amount in reserve to accommodate eventualities, ex., a student is referred to SES through the Child Study Team in January.
- The intended use(s) of the reallocated set-aside amount. Note: the reallocated amount should be used for a similar program; for example, small group tutoring by qualified LEA personnel. **The program may be conducted during the school day, and if the school is School-wide, be offered to all students who fit specific academic eligibility criteria.**

In addition, every participating student is expected to receive SES until their individual allocation is exhausted. LEAs should not end SES services due to school calendar limitations.

20. SES Implementation Timeline

Ideally, SES will begin as early in the year as possible. A recommended calendar for SES implementation is as follows:

July	Initiate contracts with providers
August	Continue contracting with providers Begin notifying parents and assigning students
September	Continue contracting with providers Continue notifying parents and assigning students Begin developing specific achievement goals and parent meetings
October	Continue contracting with providers Continue notifying parents and assigning students Continue developing specific achievement goals and parent meetings Begin service delivery
November	Continue notifying parents and assigning students Continue developing specific achievement goals and parent meetings Continue service delivery
December	Continue developing specific achievement goals and parent meetings Continue service delivery
January	Continue service delivery Provide student service data to SEA Apply for 20% set-aside reallocation based on participation
February	Continue service delivery Continue to provide student service data to SEA
March	Begin ending service delivery Continue to provide student service data to SEA
April	End service delivery for most students Evaluate program delivery Continue to provide student service data to SEA
May	End service delivery for all students Evaluate program delivery
June	Your month of rest, unless your district extending SES through the summer

Special thanks to the following contributors to Michigan's *District Guidelines for SES Implementation*:

*Battle Creek Public Schools
Buena Vista School District
Detroit City School District
The Leona Group, LLC
Michigan SES Committee
Muskegon Public Schools*

Sources of additional SES information:

Supplemental Educational Services Non-Regulatory Guidance
<http://www.ed.gov/policy/elsec/guid/suppsvcsguid.doc>

Michigan Department of Education SES Home Page
<http://www.michigan.gov/mde-ses>

Insert your group, state,
district, or school logo
here.



CHOOSING AN SES PROVIDER

NOTE TO PARENTS: Use this form to help you choose tutoring services for your child. Ask providers these questions, and write their answers on this form to help you compare your options. If you would like help choosing a provider, contact your child's school, your school district, or your local Parent Information Resource Center. To find the Center nearest you, go to www.pirc-info.net or call 1 (866) 544-8686. For more information on supplemental educational services (SES), go to www.tutorsforkids.org.

Questions to Ask Providers	Provider Name: _____	Provider Name: _____	Provider Name: _____	Provider Name: _____
Where and when is tutoring?				
How many times per week? For how many weeks?				
Who tutors students? What are their qualifications?				
What subject areas are covered?				
How do I know that your services are effective?				
How would you inform me of my child's progress?				

SES PROVIDER CODE OF ETHICS

By checking the box beside each of these Ethics and submitting this document, I certify that I have read and understand each of the following statements, agree to be held accountable for the content of each of the following statements, and understand that the Michigan Department of Education (MDE) may invoke disciplinary action at any time, up to and including removal from the approved list, based upon evidence that I have violated any of these Ethics.

- ☐ Providers must accurately and completely describe services to consumers in terms that are easy to understand. Reading level for informational materials should be no higher than eighth grade.
- ☐ Providers must create and use promotional materials and advertisements that are free from deception.
- ☐ Providers must not misrepresent to anyone the location of a provider's program or the approval status of a program.
- ☐ Providers must not publicly criticize or disparage other providers.
- ☐ Providers must comply with each district's enrollment procedures.
- ☐ Providers must maintain a system of addressing consumer grievances and concerns and must immediately report any grievances to both the district and MDE.
- ☐ Providers must not compensate district employees in exchange for access to facilities, registration, to obtain student lists, or to encourage any district employee to violate district policies or procedure including conflict of interest.
- ☐ School personnel may be hired for instructional purposes only.
- ☐ Providers must not make payments or in-kind contributions to a district, exclusive of customary fees for facility utilization or transportation.
- ☐ Before or during the registration period, providers must not distribute any objects (such as gift cards, money, pencils, balloons, candy, frisbees, tote bags, etc.) to parents or students. Informational program materials should be printed on paper.
- ☐ Before or during the registration period, providers must not verbally or non-verbally promise or reference any objects or rewards that will be provided upon registration, program completion or as student rewards during the provision of services.

- ☐ Informational program materials, including the 150 word program summary, must not verbally or non-verbally promise or reference any objects or rewards that will be provided upon registration, program completion or as student rewards during the provision of services.
- ☐ During the provision of SES, providers may not exceed a total of \$20.00 per student annually for rewards. These rewards may not be identified in any written informational material or identified verbally to parents until AFTER enrollment. This includes computers.
- ☐ Providers must not encourage or induce students or parents to switch providers once enrolled without approval by the district.
- ☐ Providers must not attempt to influence or bias parents when performing an evaluation of the provider's services and achievement of the student's individualized learning goals.
- ☐ Providers must serve substantially all students registered and immediately communicate to the district any students who cannot be served or who drop out of the program.
- ☐ Providers must not engage in false advertising about other providers' programs.
- ☐ Providers must not charge districts more than the maximum hourly rate identified in the application nor charge districts any additional fees.

ASSURANCES

By checking the box beside each of these Assurances and submitting this document, I certify that I have read and understand each of the following statements, agree to be held accountable for the content of each of the following statements, and understand that the Michigan Department of Education (MDE) may invoke disciplinary action at any time, up to and including removal from the approved list, based upon evidence that I have violated any of these Assurances.

- ☐ The applicant entity certifies that the instructional program described in the application is the instructional program that will be offered to students.
- ☐ The applicant entity certifies that the instruction and content that will be offered is secular, neutral, and non-ideological.
- ☐ The applicant entity is responsible for payment of all payroll taxes and other business expenses or fees.
- ☐ The applicant entity will be available to provide services in a district as required by the district's enrollment procedures or contract.
- ☐ The applicant entity will serve all qualified eligible children whose parent(s)/guardian(s) register for services from this applicant entity on a fair and equitable basis and in accordance with the terms specified in the application.
- ☐ The applicant entity will promptly notify the district, in writing, within three business days, if it does not meet its minimum or exceeds its maximum number of students.
- ☐ The applicant entity will provide parent(s)/legal guardian(s) of children receiving services and district personnel information on students' academic progress in an understandable format and language on a regular basis consistent with this application.
- ☐ The applicant entity will provide evidence to the district (before services are delivered) that individuals providing services to children have successfully completed fingerprinting and criminal background checks as required in the district contract.
- ☐ The applicant entity will not disclose to the public the identity of any student eligible for or receiving SES without the written permission of the parent(s)/guardian(s). All public requests for student information should be directed to the district.
- ☐ The applicant entity ensures that the entity is financially sound and agrees to notify the MDE and district, in writing within ten business days, if and when it is no longer financially sound.

- ☐ The applicant entity agrees to follow all applicable federal, state, and local health, safety, employment, and civil rights laws at all times. This includes, but is not limited to, provision of occupancy permits and fire marshal reports to districts if requested.
- ☐ The applicant entity will not discriminate on the basis of race, national origin, sex, or disability in accepting students and providing students with SES under Title I. (In general, a provider may not, on the basis of disability, exclude a qualified student with disabilities or a student covered under Section 504 if a student can, with minor adjustments, be provided SES designed to meet the individual educational needs of the student.)
- ☐ The applicant entity will provide services consistent with the qualified student's individualized education program under the Individuals with Disabilities Education Act (IDEA) if the student is covered under IDEA, or Section 504 of the Rehabilitation Act of 1973 if the entity proposes to serve such students.
- ☐ The applicant entity will comply with the MDE Standards for Monitoring SES Providers.
- ☐ The applicant entity agrees to make all documents available to the MDE or district for inspection/monitoring purposes, and participate in site visits at the request of the MDE or the district.
- ☐ The applicant entity agrees to notify MDE and applicable districts, in writing, of any change in the contact information provided in this application within ten business days.
- ☐ The applicant entity further ensures that it will provide written notification to MDE, when SES will no longer be provided, thirty days prior to termination of services.



Office of School Improvement
Field Services Unit

**Local Education Agency Instrument for Monitoring
Supplemental Educational Services Providers**

Adapted for Districts from the Tennessee Department of Education
Instrument for Monitoring Supplemental Educational Services Providers



District Supplemental Educational Services (SES)

On-site Monitoring Report

SES Provider CEO/Owner	
Mailing Address	Telephone/Fax
	E-mail
On-Site Provider Representative	
Mailing Address	E-mail
	Telephone/Fax

Monitoring Status (*Check the appropriate box*):

Closed <input type="checkbox"/>	Closed with Suggestions <input type="checkbox"/>	Incomplete Pending Compliance with Approved Compliance Action Plan Agreement <input type="checkbox"/>	Open <input type="checkbox"/>
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Required Signatures:

Printed Name/Signature of On-Site Provider Representative

Printed Name/Signature(s) of Monitor(s):

Name:	Title/Position:	Date(s) of Monitoring:

SES Provider On-Site Monitoring Summary

Commendations:

Recommendations:

**DISTRICT MONITORING INSTRUMENT
FOR SUPPLEMENTAL EDUCATIONAL SERVICES PROVIDERS**

Provider Requirements	Yes	No	N/A	Evidence
1. The provider obtained written permission of the parent or legal guardian of SES students before disclosing to the public or unauthorized personnel any confidential information about any students eligible for or receiving SES.				<input type="checkbox"/> <i>Policy or guidelines</i> <input type="checkbox"/> <i>Letters of parental permission</i> <input type="checkbox"/> <i>Form shows permission</i> <input type="checkbox"/> <i>Other</i> _____ <input type="checkbox"/> (Not Applicable) – <i>Provider did not disclose to the public or unauthorized personnel any confidential information about any students eligible for or receiving SES.</i>
2. The provider regularly measures the students' progress.				<input type="checkbox"/> <i>Copies of student progress reports</i> <input type="checkbox"/> <i>Copies pretests and post tests</i> <input type="checkbox"/> <i>Calendar/Timeline for release of progress reports</i> <input type="checkbox"/> <i>Other</i> _____
3. The provider regularly informs the students' parents and teachers of the students' progress in understandable language and format.				<input type="checkbox"/> <i>Copies of student progress reports to parents</i> <input type="checkbox"/> <i>Copies of student progress reports to teachers</i> <input type="checkbox"/> <i>Documentation of frequency</i> <input type="checkbox"/> <i>Other</i> _____
4. The provider communicates with parents, using an understandable and uniform format, and to the extent practicable, expressed in a language parents can understand.				<input type="checkbox"/> <i>Copies of letters, memoranda and/or other documents used in communicating with parents</i> <input type="checkbox"/> <i>Copies of student progress reports to parents</i> <input type="checkbox"/> <i>Copies of translated documents</i> <input type="checkbox"/> <i>Other</i> _____
5. The provider's instruction is aligned with the regular school program, as well as with Michigan academic content standards and learning expectations.				<input type="checkbox"/> <i>Lesson plans with references to related Michigan academic content standards and learning expectations.</i> <input type="checkbox"/> <i>Communication with teachers and/or school staff regarding students' regular school program</i> <input type="checkbox"/> <i>Documents showing alignment with Michigan academic standards</i> <input type="checkbox"/> <i>Documents showing alignment of provider's instruction to district's learning expectations</i> <input type="checkbox"/> <i>Other</i> _____

Provider Requirements	Yes	No	N/A	Evidence
6. The provider requires a criminal background check for individuals of the organization having contact with or being in close proximity to children related to the provision of services.				** <input type="checkbox"/> <i>Copies of notification from LEAs regarding status of criminal background checks</i> <input type="checkbox"/> <i>Other</i> _____
7. The provider offers supplemental educational services that are secular, neutral, and non-ideological.				<input type="checkbox"/> <i>Samples of students' work</i> <input type="checkbox"/> <i>Current Lesson plans</i> <input type="checkbox"/> <i>Observation of tutoring session and setting</i> <input type="checkbox"/> <i>Other</i> _____
8. The provider requires all individuals providing tutoring to students, regardless of whether they are the "lead tutor" or an "assistant tutor" to have at least a high school diploma.				<input type="checkbox"/> <i>**Employee educational records for all tutors on site</i> <input type="checkbox"/> <i>Other</i> _____
9. The provider complies with all applicable federal, state and local health, safety and civil rights laws. All qualified children, who receive services from the SES organization are served equitably. Discrimination is prohibited based on race, color, religion, gender, disability, or national origin.				<input type="checkbox"/> <i>Compliance statements on brochures</i> <input type="checkbox"/> <i>Posters/signs promoting good health practices</i> <input type="checkbox"/> <i>Safety posters</i> <input type="checkbox"/> <i>Other</i> _____
10. The provider complies with the requirements that the SES organization shall not apply additional admission criteria to eligible students.				<input type="checkbox"/> <i>Recruitment brochures and information sheets</i> <input type="checkbox"/> <i>Interviews with parents and teachers</i> <input type="checkbox"/> <i>Other</i> _____

Provider Requirements	Yes	No	N/A	Evidence
11. The provider has a plan that is communicated to students and staff for emergency situations including fires, weather-related events, evacuations, building intruders, and medical emergencies or other events requiring safety precautions, including a mechanism for communicating with emergency personnel, at all provider sites.				<input type="checkbox"/> <i>Posted evacuation instructions in response to fire</i> <input type="checkbox"/> <i>Emergency contact information readily available</i> <input type="checkbox"/> <i>Interview with students</i> <input type="checkbox"/> <i>Employee handbooks and/or policy manuals</i> <input type="checkbox"/> <i>Interview with on-site tutor(s)</i> <input type="checkbox"/> <i>Other</i> _____
12. The provider maintains methods or programs for tracking and documenting enrollment, attendance, and supplemental services provided to eligible students enrolled in the SES program.				<input type="checkbox"/> <i>Enrollment records of participating students</i> <input type="checkbox"/> <i>Attendance records of participating students</i> <input type="checkbox"/> <i>Copy of cover letter and accompanying records sent to the LEA</i> <input type="checkbox"/> <i>Other</i> _____
13. The provider maintains liability insurance relative to providing tutoring services and working with children.				<input type="checkbox"/> <i>** Copy of current liability insurance certificate</i> <input type="checkbox"/> <i>Other</i> _____
14. The provider's time of service (frequency of sessions, and duration of sessions) is consistent with the provider's application.				<input type="checkbox"/> <i>Copy of the provider's SES application.</i> <input type="checkbox"/> <i>Tutoring schedules</i> <input type="checkbox"/> <i>Observation of tutoring sessions</i> <input type="checkbox"/> <i>Other</i> _____
15. The provider allocated appropriate materials to deliver services to students without infringing on school sites for copies and materials.				<input type="checkbox"/> <i>Purchase orders/invoices for tutoring materials</i> <input type="checkbox"/> <i>Expense records for copying</i> <input type="checkbox"/> <i>Tutoring no provided at school site</i> <input type="checkbox"/> <i>Other</i> _____

Provider Requirements	Yes	No	N/A	Evidence
16. The provider ensured that students receiving SES are supervised up until the time students return to other authorized, school-based programs via adult supervision or are released into the care of their parent or guardian.				<input type="checkbox"/> Payroll records for site coordinator <input type="checkbox"/> Contract for site coordinator <input type="checkbox"/> Observation of tutoring session and dismissal of students <input type="checkbox"/> Parent forms specifying person to pick up child <input type="checkbox"/> Parent forms with specific directions for child to use public transportation or other mode of travel <input type="checkbox"/> Other_____
17. The provider complies with all applicable laws concerning patents and copyrights.				<input type="checkbox"/> Instructional materials are originals <input type="checkbox"/> Other_____
18. The provider complies with the LEA's conflict of interest policy related to LEA employees who are dually employed.				<input type="checkbox"/> Payroll records for tutors <input type="checkbox"/> Tutor schedule <input type="checkbox"/> Other_____
19. If the provider uses the Internet for tutoring, the provider avoids transmitting any material in violation of any U.S. or state regulation or school board policy via the Internet. This includes, but is not limited to copyrighted material and threatening or obscene material.				<input type="checkbox"/> Copies of LEA policy related to Internet use <input type="checkbox"/> Other_____ <input type="checkbox"/> N/A is checked -The provider does not use the Internet for tutoring
20. If the provider uses the Internet for tutoring, the provider recognizes that Internet files are not private and that the State, LEA, school administrators, as well as parents may review files and communications at any time to ensure that the school network is being used responsibly.				<input type="checkbox"/> Policy or guidelines <input type="checkbox"/> Copies of communication to parents regarding policy <input type="checkbox"/> Other_____ <input type="checkbox"/> N/A is checked -The provider does not use the Internet for tutoring

Provider Requirements	Yes	No	N/A	Evidence
21. If the provider uses the Internet for tutoring, the provider obtains written parental permission before communicating with students under the age of 13 via e-mail or Internet. (Title XIII, <i>Children's Online Privacy Protection Act of 1998</i>)				<input type="checkbox"/> <i>Policy or guidelines</i> <input type="checkbox"/> <i>Letters of parental permission</i> <input type="checkbox"/> <i>Other</i> _____ <input type="checkbox"/> <i>N/A is checked -The provider does not use the Internet for tutoring</i>
22. The provider abides by all school/LEA policies and procedures regarding computer/ Internet use, if students use a school computer to access information from the provider.				<input type="checkbox"/> <i>Policy or guidelines</i> <input type="checkbox"/> <i>Posted copies of LEA policy regarding computer/Internet use</i> <input type="checkbox"/> <i>Other</i> _____ <input type="checkbox"/> <i>N/A is checked -The provider does not ask students to use the school's computers for accessing the Internet for tutoring</i>
23. In the case of a student with a disability, the achievement goals, measurement and reporting of progress, and timetable are consistent with (although not included in) the student's individualized education program under Section 614(d) of the IDEA.				<input type="checkbox"/> <i>Information from the LEA related to students' IEPs</i> <input type="checkbox"/> <i>Copy of instruction timetable for reaching students' academic goals and reporting student progress</i> <input type="checkbox"/> <i>Documentation that provider's instruction is aligned with IEP</i> <input type="checkbox"/> <i>Other</i> _____ <input type="checkbox"/> <i>N/A is checked - The provider does not provide tutoring to students with disabilities</i>
24. In the case of a student covered by Section 504, the achievement goals, measurement and reporting of progress, and timetable are consistent with (although not included in) the student's individualized services under Section 504.				<input type="checkbox"/> <i>Documentation that services are provided with necessary accommodations to students with disabilities and students covered under Section 504.</i> <input type="checkbox"/> <i>Documentation that SES tutoring is aligned with students' individualized education programs under Section 504.</i> <input type="checkbox"/> <i>Other</i> _____ <input type="checkbox"/> <i>N/A is checked -The provider does provide tutoring to students covered by Section 504</i>

Provider Requirements	Yes	No	N/A	Evidence
25. The Provider did not provide gifts or awards as enrollment incentives to eligible SES students, their parents or guardians, teachers or other LEA staff for the purpose of recruiting students for the SES provider.				<input type="checkbox"/> <i>Record of incentives awarded</i> <input type="checkbox"/> <i>Interviews with LEA staff/administrators</i> <input type="checkbox"/> <i>Interviews with parents</i> <input type="checkbox"/> <i>Interviews with teachers employed by SES providers</i> <input type="checkbox"/> <i>Other</i> _____
26. The provider's grade levels of students receiving tutoring are consistent with the provider's application.				<input type="checkbox"/> <i>Interview with students.</i> <input type="checkbox"/> <i>Copies of records showing grade levels of students</i> <input type="checkbox"/> <i>Other</i> _____
27. The provider's place of service where students receive tutoring is consistent with the provider's application.				<input type="checkbox"/> <i>On-site visit.</i> <input type="checkbox"/> <i>Schedules of tutoring showing location</i> <input type="checkbox"/> <i>Other</i> _____
28. The provider's mode of instructional delivery (example: group size, individual, computer-aided, and the student/teacher ratio and student/adult ratio) is consistent with the provider's application.				<input type="checkbox"/> <i>Observation of tutoring session.</i> <input type="checkbox"/> <i>Tutoring schedules</i> <input type="checkbox"/> <i>Other</i> _____
29. The provider's cost/fee structure (cost per hour/per student, cost per hour/per student in group, monthly costs) is consistent with the provider's application.				<input type="checkbox"/> <i>Interview with LEA NCLB personnel</i> <input type="checkbox"/> <i>Copies of invoices to LEAs</i> <input type="checkbox"/> <i>Tutoring schedules</i> <input type="checkbox"/> <i>Other</i> _____
30. The provider's students have access to transportation that is consistent with transportation provisions in the provider's application.				<input type="checkbox"/> <i>Bus Schedules</i> <input type="checkbox"/> <i>Other Transportation schedules</i> <input type="checkbox"/> <i>Other</i> _____

<i>Provider Requirements</i>	<i>Yes</i>	<i>No</i>	<i>N/A</i>	<i>Evidence</i>
31. The provider's assessment instruments and process are consistent with the provisions in the provider's application.				<input type="checkbox"/> <i>Provider's assessment instruments</i> <input type="checkbox"/> <i>Description of provider's assessment program</i> <input type="checkbox"/> <i>Other</i> _____
32. The provider's instructional program design is consistent with the provisions in the provider's application.				<input type="checkbox"/> <i>Provider's program design</i> <input type="checkbox"/> <i>Description of provider's program design</i> <input type="checkbox"/> <i>Other</i> _____